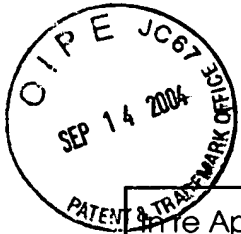


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Patent Docket P5009R1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

<p>Initial Application of</p> <p>Avi Ashkenazi et al.</p> <p>Serial No.: 09/938,418</p> <p>Filed: August 23, 2001</p> <p>For: COMPOSITIONS AND METHODS FOR THE DIAGNOSIS AND TREATMENT OF TUMOR</p>	<p>Group Art Unit: 1647</p> <p>Examiner: Lorraine Spector</p> <p>Confirmation No: 2589</p> <p>CUSTOMER NO: 09157</p> <div><p>CERTIFICATE OF MAILING</p><p>I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on</p><p>Dated: <u>Sept 10, 2004</u></p><p><u>Pam Golden</u> Pam Golden</p></div>
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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith patents, publications or other information (attached hereto and listed on the attached revised Form PTO-1449) of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR §1.56.

This Information Disclosure Statement is filed in accordance with the provisions of:

- (X) **37 CFR §1.97(b)**
- within three months of the filing date of the application other than a continued prosecution application under 37 CFR §1.53(d); **or**
 - within three months of the date of entry of the national stage of a PCT application as set forth in 37 CFR §1.491, **or**
 - before the mailing of the first Office action on the merits; **or**
 - before the mailing of the first Office action after the filing of a request for a continued examination under 37 CFR §1.114.
- 0 **37 CFR §1.97(c)**
- by the applicant after the period specified in 37 CFR §1.97(b), but prior to the mailing date of any of a final action under 37 CFR §1.113, or a notice of

allowance under 37 CFR §1.311, or an action that otherwise closes prosecution in the application, and is accompanied by either the fee set forth in 37 CFR §1.17(p) **or** a statement as specified in 37 CFR §1.97(e), as checked below.

☐ **37 CFR §1.97(d)**

- after the period specified in CFR §1.97(c), and is accompanied by the fee set forth in 37 CFR §1.17(p) **and** a statement as specified in 37 CFR §1.97(e), as checked below.

(If either of boxes 37 CFR §1.97(c) or 37 CFR §1.97(d) is checked above, the following statement under 37 CFR §1.97(e) may need to be completed.)

- ☐ **37 CFR §1.97(e)** Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.
- ☐ **37 CFR §1.704(d)** Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and the communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of this information disclosure statement. Therefore, in accordance with the provisions of 37 CFR §1.704(d), the filing of this information disclosure statement will not be considered a failure to engage in reasonable efforts to conclude prosecution under 37 CFR §1.704.
- ☐ The U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$180.00 to cover the cost of this Information Disclosure Statement under 37 CFR §1.17(p). Any deficiency or overpayment should be charged or credited to this deposit account.

A list of the patent(s) and/or publication(s) is set forth on the attached revised Form PTO-1449 (Modified).

A copy of the items on PTO-1449 is supplied herewith.

Those patent(s) or publication(s) which are marked with an asterisk (*) in the attached PTO-1449 form are not supplied because **a)** ☐ they were previously cited by or submitted to the Office in a prior application Serial No. , filed and relied upon in this application for an earlier filing date under 35 USC §120 **and/ or** because **b)** ☐ this application was filed after June 30, 2003. Applicants are no longer required to submit copies of U.S. patents and U.S. patent application publications cited in information disclosure statements for all U.S. national patent applications filed after June 30, 2003

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and for all international applications that have entered the national stage under 35 USC §371 after June 30, 2003 (**1276 OG 55**). Nevertheless, applicants stand ready to provide copies at the request of the Examiner.

A concise explanation of relevance of the items listed on PTO-1449 is:

- ☒ not given
- ☐ given for each listed item
- ☐ given for only non-English language listed item(s) (Required)
- ☐ in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references.

In accordance with 37 CFR §1.97(g), the filing of this information disclosure statement shall not be construed as a representation that a search has been made.

In accordance with 37 CFR §1.97(h), the filing of this information disclosure statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR § 1.56(b).

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR 1.16 and 1.17 for this Information Disclosure Statement, or credit overpayment to Deposit Account No. 07-0630. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

GENENTECH, INC.

Date: Sept 10 2004

By: Cara M. Coburn
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FORM PTO-1449		U.S. Dept. of Commerce Patent and Trademark Office		Atty Docket No. P5009R1	Serial No. 09/938,418
LIST OF DISCLOSURES CITED BY APPLICANT (Use several sheets if necessary)				Applicant Ashkenazi et al.	
				Filing Date 23 Aug 2001	Group 1645

U.S. PATENT DOCUMENTS						
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	9	5,871,969	16.02.99	Hastings et al.		12.02.97
	10	6,287,777	09.09.01	Sytowski et al.		10.08.99

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	11	1130094A2	05.09.01	EP		
	12	00/37638	29.06.00	WO		
	13	00/53756	14.09.00	WO		
	14	97/29189	14.08.97	WO		
	15	98/45442	15.10.98	WO		
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17	Campo, Cathrin A. et al., "Zinc Inhibits the Mixed Lymphocyte Culture" <u>Biological Trace Element Research</u> , Humana Press, Inc. Vol. 79(1):15-22 (2001)
18	"Database Search, DNA sequence alignments [BLASTN 2.1.3 (April-1-2001). NCB1] A1-A23"
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20	Feinstein, Yael et al., "F-spondin and mindin: two structurally and functionally related genes expressed in the hippocampus that promote outgrowth of embryonic hippocampal neurons" (Development 126), Great Britain: The Company of Biologists Limited pps. 3637-3648 (1999)
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22	Higashijima et al. <u>Dev. Biol.</u> pps. 192:211-227 (1997)
23	Johnson et al., "Relationships between drug activity in NCI preclinical in vitro and in vivo models and early clinical trials" <u>British Journal of Cancer</u> 84(10):1424-1431 (2001)
24	Kahan, "Immunosuppressive therapy" <u>Current Opinion in Immunology</u> 4(5):553-560 (Oct 1992)
25	Klar et al. <u>Cell</u> pps. 69:95-110 (1992)
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27	Piccotti, Joseph R. et al., "Interleukin-12 (IL-12)-Driven Alloimmune Responses In Vitro and In Vivo" <u>Transplantation</u> 67(No. 11):1453-1460 (Jun 15, 1999)
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29	"Sequence Alignment of SEQ ID NO: 235 of USSN 10/145,128 with AAV63241 of Sheppard (W098/45442)"

Examiner	Date Considered
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*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449

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Patent and Trademark OfficeAtty Docket No.
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LIST OF DISCLOSURES CITED BY APPLICANT
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Ashkenazi et al.Filing Date
23 Aug 2001Group
1645**OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages, etc.)**

30 "Sequence Alignment of Sytkowski et al. (U.S. Patent No. 6287777), Wood et al. (WO 99/46281), Ashkenazi et al. (WO 00/37638), Hastings et al. (U.S. Patent No. 5871969 and WO 9829189), Ali et al. (WO 00/23108) and Jonak et al. (WO 98/50073)"

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33 Umemiya et al. Dev. Biol. pps. 186:165-176 (1997)

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